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TO: Assistant Commissioner for Patents - Washington, D.C.

Group 2700

FAX NO: 703-308-7751

DATE: January 13, 1999

FROM: Caleb Pollack

SUBJECT: Patent Application No. 08/976,159

Filed: November 21, 1997

Inventors: N F. Brander, et al.

Title: ENHANCED MATCHING APPARATUS AND METHOD FOR
POST-TRADE PROCESSING AND SETTLEMENT OF SECURITIES
TRANSACTIONS

Our Ref.: 2656/2

NO. OF PAGES INCLUDING COVER: 7

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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

SECOND REQUEST FOR CORRECTED
FILING DATE

Docket Number
2656/2

Application Number
08/976,159

Filing Date
November 21, 1997

Examiner

Art. Unit
2772

Invention Title
ENHANCED MATCHING APPARATUS AND
METHOD FOR POST-TRADE PROCESSING AND
SETTLEMENT OF SECURITIES TRANSACTIONS

Inventor(s)
Neil Frederick Brander et al.

VIA FACSIMILE (703) 308-7751

Assistant Commissioner for Patents
Washington D.C. 20231

Applicants request that the filing date for the above identified patent application be corrected in the Patent Office to show the filing date of -- November 21, 1997 --. A copy of the filing receipt incorrectly indicating the date of filing as November 12, 1997 is attached, and has the requested correction in red.

Applicants are submitting herewith a copy of the post card receipt showing a filing date of November 21, 1997, a copy of the Express Mail label showing both the deposit date in the Post Office and the Post Office date stamp as being November 21, 1997, and including the accepting clerk's initials. A copy of Applicant's first Request for Correction of Filing Date submitted March 20, 1998 is also enclosed.

Please issue a corrected filing receipt and correct all Patent Office records.

Dated: Jan 13, 1999

By: 

Caleb Pollack (Reg. No. 37,912)

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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

**REQUEST FOR CORRECTION OF
FILING DATE**

Docket Number:
2656/2

Application Number
08/976,159

Filing Date
November 21, 1997

Classified
Not yet assigned

Art Unit
2772

Invention Title
**ENHANCED MATCHING APPARATUS AND
METHOD FOR POST-TRADE PROCESSING AND
SETTLEMENT OF SECURITIES TRANSACTIONS**

Inventor(s)
Neil Frederick Brander et al.

Address to:
Assistant Commissioner for Patents
Washington D.C. 20231

I hereby certify that this correspondence is being deposited with the
United States Postal Service as first class mail in an envelope addressed
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Date: 3/24/98

Reg. No. 37,912

Signature: Caleb Pollack

Caleb Pollack

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It is requested that a corrected filing receipt be issued and that all Patent Office records relating thereto also be corrected. Please send a corrected filing receipt as soon as possible.

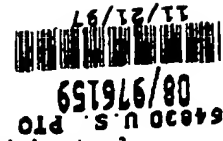
Dated: 3/1/72

By: Caleb Pollack
Caleb Pollack (Reg. No. 37,912)

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EG510925653US

The stamp of the Patent Office hereon, may be taken as
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PATENT APPLICATION of BRANDER, Neil Frederick et al.



Title ENHANCED MATCHING APPARATUS AND METHOD FOR POST-TRADE
PROCESSING AND SETTLEMENT OF SECURITIES TRANSACTIONS

Specification	<u>50</u>	Assignment	<u>YES</u>
No. of claims	<u>32</u>	Recording fee \$	<u>40</u>
No. of drawings	<u>6</u>	Authorization to charge Dep. Acct.	<u>11-0600</u>
Declaration	<u>YES</u>	Priority Document	<u> </u>
Filing fee \$	<u>1,546.00</u>	Preliminary Amendment	<u> </u>
CPO	2656/2	Small Entity	<u> </u> 11/21/97

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
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APPLICATION NUMBER	FILING DATE	GR PATENT UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/976,159	<u>11/12/97</u>	2772	\$1,546.00	2656/2	6	32	9

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Should be 11/21/97

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

NEIL FREDERICK BRANDER, NEW YORK, NY; ANDREW JOHN
ZELENKA, SYOSSET, NY.

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TITLE

ENHANCED MATCHING APPARATUS AND METHOD FOR POST-TRADE PROCESSING AND
SETTLEMENT OF SECURITIES TRANSACTIONS

PRELIMINARY CLASS: 707

MAR 10 10 50 AM '98
KENYON & KENYON
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NEW YORK, NY

(see reverse)